

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL FORM**  
(to be used for all correspondence after initial filing)

**U.S. PATENT & TRADEMARK OFFICE**

**MAY 22 2006**

Application Number	10/715712
Filing Date	11/17/2003
First Named Inventor	James M. Bell ET AL.
Art Unit	3671
Examiner Name	Victor D Batson
Attorney Docket Number	02-279

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input checked="" type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosures(s) (please Identify below):  Request for Certificate of Correction Under 37 CFR 1.323 (to be forwarded to CoFC Branch Upon Grant of Petition)
<div style="border: 1px solid black; padding: 5px;">Remarks</div>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	William A. Beckman, Registration No. 57,589
Signature	<i>William A. Beckman</i>
Date	May 16, 2006

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope address to:  
 Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on this date:

05/16/2006

Typed or printed name	William A. Beckman		
Signature	<i>William A. Beckman</i>	Date	5/16/2006

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/17 (05-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130

## Complete if Known

Application Number	10/715712
Filing Date	11/17/2003
First Named Inventor	James M. Bell ET AL.
Examiner Name	Victor D Batson
Art Unit	3671
Attorney Docket No.	02-279

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit

Account Number 03-1129

Deposit

Account

Name

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1001	790	2001	385
1002	350	2002	170
1003	530	2003	265
1004	790	2004	385
1005	160	2005	80
SUBTOTAL (1)		(\$)	0

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	20			Extra Claims		Fee from below		Fee Paid
Total Claims	20	-20** =	0	x	50	=	0	
Independent Claims	3	-3** =	0	x	200	=	0	
Multiple Dependent	3					=		
Large Entity		Small Entity						
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description				
1202	18	2002	9	Claims in excess of 20				
1201	88	2001	43	Independent claims in excess of 3				
1203	290	2203	145	Multiple dependent claim, if not paid				
1204	88	2204	43	**Reissue independent claims over original patent				
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent				

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65
1052	50	2052	25
1053	130	1053	130
1812	2,520	1812	2,520
1804	920*	1804	920*
1805	1,840*	1805	1,840*
1251	110	2251	55
1252	430	2252	210
1253	980	2253	475
1254	1,530	2254	740
1255	2,080	2255	1,005
1401	340	2401	165
1402	340	2402	165
1403	300	2403	145
1451	1,510	1451	1,510
1452	110	2452	55
1453	1,370	2453	665
1501	1,370	2501	665
1502	490	2502	240
1503	660	2503	320
1460	130	1460	130
1807	50	1807	50
1806	180	1806	180
8021	40	8021	40
1809	790	2809	385
1810	790	2810	385
1801	790	2801	385
1802	900	1802	900

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	William A. Beckman	Registration No. (Attorney/Agent)	57,589	Telephone	(309) 675-5187
Signature	<i>William A. Beckman</i>	Date	05/16/2006		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re United States Letters	)	Group Art Unit: 3671
	)	
Patent No.: 7,017,674	)	Examiner: Victor D Batson
	)	
Granted: March 28, 2006	)	
	)	
Inventor: JAMES M. BELL, ET AL.	)	
	)	
Title: METHOD OF CHANGING	)	
OPERATING CHARACTERISTICS	)	
OF AN IMPLEMENT	)	
	)	
Attorney Docket No.: 02-279	)	

Peoria, Illinois 61629-6490  
May 16, 2006

Mail Stop Petitions  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PETITION REQUEST UNDER 37 CFR 3.81(b)

Sir:

On January 18, 2006, Applicant submitted form PTOL-85B with payment of the Issue Fee. Applicant inadvertently failed to include on form PTOL-85B the names of the registered patent attorneys or agents (Item 2 (1)), and Applicant also failed to include the correct Name of Assignee (Item 3 A) and Residence (Item 3 B).

Applicant is requesting to add the name of Todd A. Benni under Item 2 (1).

Additionally, by this PETITION REQUEST UNDER 37 CFR 3.81(b), Applicant is requesting to correct the Name of Assignee under Item 3 A to reflect the Assignee of Record (Caterpillar S.A.R.L.) as noted on the enclosed copy of the Notice of Recordation of Assignment Document, Reel and Frame 014713/0160, recorded on November 17, 2003, and Assignee's Residence under Item 3B (Geneva, Switzerland).

05/23/2006 MAHRED1 00000058 031129 7017674

01 FC:1811 100.00 DA

It is respectfully requested that the Petition be granted and that the enclosed REQUEST FOR CERTIFICATE OF CORRECTION UNDER 37 CFR 1.323 be forwarded to the Certificates of Correction Branch.

Enclosed herewith are two copies of a fee transmittal sheet to provide for the appropriate fee of \$130.00 for the Petition Request.

Respectfully submitted,



William A. Beckman  
Registration No. 57,589  
Caterpillar Inc.

Telephone: (309) 675-5187  
WAB:vlm  
Enc.



DLH / ✓  
KAL

# UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JUNE 09, 2004

PTAS



\*102608511A\*

CATERPILLAR INC. *CAW*  
TODD A. BENNI  
INTELLECTUAL PROPERTY DEPARTMENT, AB6490  
100 N. E. ADAMS STREET  
PEORIA, IL 61629-6490

## UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/17/2003

REEL/FRAME: 014713/0160  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BELL, JAMES M.

DOC DATE: 10/23/2003

ASSIGNOR:

DVORAK, PAUL A.

DOC DATE: 11/03/2003

ASSIGNOR:

SCHENCK, RAYMOND T.

DOC DATE: 10/31/2003

ASSIGNOR:

SPORER, MARK A.

DOC DATE: 11/04/2003

ASSIGNEE:

CATERPILLAR S.A.R.L.  
76, ROUTE DE FRONTENEX  
C/O CATERPILLAR OVERSEAS S.A.  
1211 GENEVA, SWITZERLAND

RECEIVED  
INTELLECTUAL PROPERTY

JUN 21 2004

CATERPILLAR INC.

014713/0160 PAGE 2

SERIAL NUMBER: 10715712

FILING DATE: 11/17/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: METHOD OF CHANGING OPERATING CHARACTERISTICS OF AN IMPLEMENT

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

11-25-2003



102608511

Form PTO-1595

(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

Tab settings ⇌ ⇌ ⇌

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

 U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

 James M. Bell  
Paul A. Dvorak  
Raymond T. Schenck  
Mark A. Sporer

 Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 2. Name and address of receiving party(ies):

 Name:  
Caterpillar S.A.R.L.  
Internal Address:  
c/o Caterpillar Overseas S.A.  
76, Route de Frontenex  
1211 Geneva, SWITZERLAND

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

 Execution Date: 10/23/2003  
11/03/2003  
10/31/2003  
11/04/2003

 Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 10/23/2003

A. Patent Application No.(s) 10715712

B. Patent No.(s) \_\_\_\_\_

 Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

 Todd A. Benni  
Caterpillar Inc.  
Intellectual Property Department, AB6490  
100 N. E. Adams Street  
Peoria IL 61629-6490
6. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) ..... \$ 40.00
☐ Enclosed  
☒ Authorized to be charged to deposit account

## 8. Deposit account number:

03-1129**DO NOT USE THIS SPACE**

## 9. Signature.

Docket Number: 02-279

11/24/2003 6TON11 00000074 031129 10715712

01 FC:8021

40.00 DA

Todd A. Benni

Name of Person Signing

Todd A. Benni

Signature

11/17/2003

Date

Total number of pages including cover sheet, attachments, and documents: 03
 Mail documents to be recorded with cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

 17548 U.S. PTO  
10/715712

111703

## ASSIGNMENT

WHEREAS, James M. Bell, Paul A. Dvorak, Raymond T. Schenck, and Mark A. Sporer, residing respectively at Clayton, North Carolina; Sanford, North Carolina; Morrisville, North Carolina; and Apex, North Carolina, hereinafter referred to as ASSIGNORS, have invented a new and useful

### METHOD OF CHANGING OPERATING CHARACTERISTICS OF AN IMPLEMENT

for which ASSIGNORS are about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNORS on October 23, 2003, November 3, 2003, October 31, 2003, and November 4, 2003; and


WHEREAS, Caterpillar S.A.R.L., a corporation duly organized and existing under the laws of Switzerland, domiciled at c/o Caterpillar Overseas S. A., 76, Route de Frontenex, 1211 Geneva, Switzerland, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNORS from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNORS;

1. ASSIGNORS hereby sell, assign, transfer and convey unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNORS have the full right to do so.
2. At the request and expense of ASSIGNEE, ASSIGNORS agree to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.
3. ASSIGNORS hereby authorize and request the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Caterpillar S.A.R.L.
4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNORS, ASSIGNORS' heirs and legal representatives.

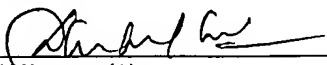


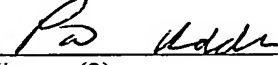
IN TESTIMONY WHEREOF, ASSIGNORS have executed this instrument.

  
JAMES M. BELL

10/23/03  
Date

IN WITNESS OF the execution hereof by JAMES M. BELL we have hereunto set our hands.

 10/23/03  
Witness (1) Date

 10-23-03  
Witness (2) Date

Address: 203, BARTHE DR  
CARY, NC 27513

Address: 809 LAKESIDE DR  
GARNER, NC 27529

  
PAUL A. DVORAK

11/2/03  
Date


IN WITNESS OF the execution hereof by PAUL A. DVORAK we have hereunto set our hands.

Matthew C. Jull 11-3-03  
Witness (1) Date

Matthew D. Mering 11/3/03  
Witness (2) Date

Address: 1001 Greylock Ct.  
Raleigh, NC 27603

Address: 131 Churchill Downs Dr  
Clayton, NC 27520

  
RAYMOND T. SCHENCK

31 OCT 2003  
Date

IN WITNESS OF the execution hereof by RAYMOND T. SCHENCK we have hereunto set our hands.

Darlene D. Stone 31 OCT 03  
Witness (1) Date

Dana B. Pester 31 OCT 2003  
Witness (2) Date

Address: 112 KILDROW LN  
MORRISVILLE, NC 27560

Address: 5947 DIXON DR  
RALEIGH, NC 27607

Mark A. Sporer  
MARK A. SPORER

11/4/03  
Date

IN WITNESS OF the execution hereof by MARK A. SPORER we have hereunto set our hands.

Kath A. Fennell 11/4/03  
Witness (1) Date

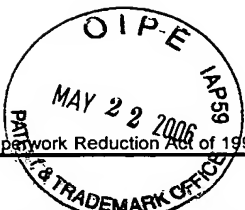
Dante Harmon 11/4/03  
Witness (2) Date

Address: 2123-208 Barrington Manor Dr.

Raleigh, NC 27612

Address: 321 MacHost Drive

Garner, NC 27529



PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>Application Number</b>	10/715712	
	<b>Filing Date</b>	11/17/2003
	<b>First Named Inventor</b>	James M. Bell ET AL.
	<b>Art Unit</b>	3671
	<b>Examiner Name</b>	Victor D Batson
<b>Attorney Docket Number</b>	02-279	
<b>Total Number of Pages in This Submission</b>		

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosures(s) (please Identify below):  Request for Certificate of Correction
<b>Remarks</b>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

<b>Firm or Individual name</b>	William A. Beckman, Registration No. 57,589
<b>Signature</b>	<i>William A. Beckman</i>
<b>Date</b>	May 16, 2006

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope address to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on this date: 05/16/2006			
<b>Typed or printed name</b>	William A. Beckman		
<b>Signature</b>	<i>William A. Beckman</i>	<b>Date</b>	5/16/2006

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.